



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

## **FGIS Process Verified Program Audit Report and Checklist**

**Program:**  
**Company:**  
**Organizational Structure:**  
**Contact and Title:**  
**Location:**  
**Email Address:**  
**Audit Identifier:**  
**Type of Audit:** Desk Audit  
**Exempt Sections:** No If yes, which sections  
**Lead Auditor:** Beth Hayden  
**Auditor:** Beth Hayden  
**Date:**  
**Conclusion:** Request more information  
**Audit Criteria:**

AUDIT ACTIVITIES:



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
Element 1: Documentation Requirements							
1.1.a	<b>The quality management system documentation shall include:</b> documented statements of a quality policy and quality objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
1.1.b	a quality manual.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
1.1.c	documented procedures required by these requirements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
1.1.d	documents needed by the organization to ensure the effective planning, operation and control of its processes.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
1.1.e	records required by these requirements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
1.2 Quality Manual							
1.2.a	<b>The organization shall establish and maintain a quality manual that includes:</b> the scope of the process, including details of, and justification for, any exclusions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
1.2.b	the documented procedures established for the quality management system or reference to them	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
1.2.c	a description of the interaction between the processes of the quality management system.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
<b>1.3 Control of Documents</b>							
1.3	Documents required by the quality management system shall be controlled. Records are a special type of document and shall be controlled according to the requirements given in 1.4.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
1.3.a	<b>A documented procedure shall be established to define the controls needed to:</b> approve documents for adequacy prior to issue.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
1.3.b	to review and update, as necessary, and re-approve documents.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
1.3.c	ensure that changes and the current revision status of documents are identified.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
1.3.d	ensure that relevant versions of applicable documents are available at points of use.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
1.3.e	ensure that documents remain legible and readily identifiable.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
1.3.f	ensure that documents of external origin are identified and their distribution controlled.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	~~
1.3.g	prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
<b>1.4 Control of records</b>							
1.4	Records shall be established and maintained to provide evidence of conformity to requirements and of the effective operation of the quality management system.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
1.4	Records shall remain legible, readily identifiable and retrievable.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
1.4	A <b>documented procedure</b> shall be established to define the controls needed for the identification, storage, protection, retrieval, retention time, and disposition of records.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>Element 2: Management Responsibility</b>							
<b>2.1 Management Commitment</b>							
2.1.a	Top management shall provide evidence of its commitment to the development and implementation of the quality management system and continually improve its effectiveness by communicating to the organization the importance of meeting customer, as well as statutory and regulatory, requirements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
2.1.b	<b>Top management shall provide evidence of its commitment to the development and implementation of the quality management system and continually improve its effectiveness by:</b> establishing the quality policy.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
2.1.c	ensuring that quality objectives are established.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
2.1.d	conducting management reviews.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
2.1.e	its effectiveness by ensuring the availability of resources.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>2.2 Customer focus</b>							
2.2	Top management shall ensure that customer requirements are determined and are met with the aim of enhancing customer satisfaction (see 4.2.1 and 5.2.1).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>2.3 Quality Policy</b>							
2.3.a	<b>Top management shall ensure that the quality policy:</b> is appropriate to the purpose of the organization.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
2.3.b	(Quality Policy) includes a commitment to comply with requirements and continually improve the effectiveness of the quality management system.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
2.3.c	provides a framework for establishing and reviewing quality objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
2.3.d	is communicated and understood within the organization.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
2.3.e	is reviewed for continuing suitability.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>2.4 Planning</b>							
<b>2.4.1 Quality Objectives</b>							
2.4.1	<b>Top management shall ensure that quality objectives</b> , including those needed to meet requirements for product [see 4.1.1 a)], are established at relevant functions and levels within the organization.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
2.4.1	shall be measurable and consistent with the quality policy.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>2.4.2 Quality Management System Planning</b>							
2.4.2.a	Top management shall ensure that the planning of the quality management system is carried out in order to meet the general requirements as well as the quality objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
2.4.2.b	<b>Top management shall ensure that the integrity of the quality management system is maintained when changes to the quality management system are planned and implemented.</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
<b>2.5 Responsibility, authority and communication</b>							
<b>2.5.1 Responsibility and authority</b>							
2.5.1	ensure that responsibilities and authorities are defined and communicated within the organization.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>2.5.2 Management Representative</b>							
2.5.2.a	<b>Top management shall appoint a member of management who, irrespective of other responsibilities, shall have responsibility and authority that includes:</b> ensuring that processes needed for the quality management system are established, implemented, and maintained.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
2.5.2.b	reporting to top management on the performance of the quality management system and any need for improvement.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
2.5.2.c	ensuring the promotion of awareness of customer requirements throughout the organization.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
NOTE The responsibility of a management representative can include liaison with external parties on matters relating to the quality management system.							



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
<b>2.5.3 Internal Communication</b>							
2.5.3	<b>Top management shall:</b> ensure that appropriate communication processes are established within the organization and that communication takes place regarding the effectiveness of the quality management system.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>2.6 Management Review</b>							
<b>2.6.1 General</b>							
2.6.1	review the organization's quality management system, at planned intervals, to ensure its continuing suitability, adequacy, and effectiveness.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
2.6.1	This review shall include assessing opportunities for improvement and the need for changes to the quality management system, including the quality policy and quality objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
2.6.1	<b>Records</b> from management reviews shall be maintained (see 1.4).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>2.6.2 Review Input</b>							
2.6.2.a	<b>The input to management reviews shall include: information on:</b> results of audits.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
2.6.2.b	customer feedback.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
2.6.2.c	process performance and product conformity.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
2.6.2.d	status of preventive and corrective actions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
2.6.2.e	follow up actions from previous management reviews.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
2.6.2.f	changes that could affect the quality management system.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
2.6.2.g	recommendations for improvement.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>2.6.3 Review Output</b>							
2.6.3.a	<b>The output from the management review shall include</b> any decisions and actions related to improvement of the effectiveness of the quality management system and its processes.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
2.6.3.b	(output management review) any decisions and actions related to improvement of product related to customer requirements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
2.6.3.c	decisions and actions related to resources needs.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
Element 3: Resource Management							



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
<b>3.1 Provision of resources</b>							
3.1.a	<b>The organization shall determine and provide the resources needed to</b> implement and maintain the quality management system and continually improve its effectiveness.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
3.1.b	enhance customer satisfaction by meeting customer requirements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>3.2 Human Resources</b>							
<b>3.2.1. General</b>							
3.2.1	Personnel performing work affecting product quality shall be competent on the basis of appropriate education, training, skills, and experience.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>3.2.2 Competence, Awareness and Training</b>							
3.2.2.a	The organization shall determine the necessary competence for personnel performing work affecting product quality.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
3.2.2.b	<b>The organization shall</b> provide training or take other actions to satisfy these needs.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
3.2.2.c	evaluate the effectiveness of the actions taken.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
3.2.2.d	ensure that its	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
	personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the quality objectives.						
3.2.2.e	maintain appropriate <b>records</b> of education, training, skills, and experience.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>3.3 Infrastructure</b>							
3.3.a	determine, provide, and maintain the infrastructure needed to achieve conformity to product requirements. Infrastructure includes, as applicable, buildings, workspace, and associated utilities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
3.3.b	determine, provide, and maintain the infrastructure needed to achieve conformity to product requirements. Infrastructure includes, as applicable, process equipment (both hardware and software).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
3.3.c	<b>The organization shall</b> determine, provide, and maintain the infrastructure needed to achieve conformity to product requirements. Infrastructure includes, as applicable, supporting services (such as, transport or	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
	communication).						
<b>3.4 Work environment</b>							
3.4.	determine and manage the work environment needed to achieve conformity to product requirements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>Element 4: Product Realization</b>							
<b>4.1 Planning of product realization</b>							
4.1	The organization shall plan and develop the processes needed for product realization.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.1	Planning of product realization shall be consistent with the other processes of the quality management system.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.1.1.a	In planning product realization, the organization shall determine the following, as appropriate, quality objectives and requirements for the product.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.1.1.b	<b>In planning product realization, the organization shall determine the following, as appropriate,;</b> the need to establish processes, documents, and provide resources specific to the product.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.1.1.c	required verification,	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
	validation, monitoring, inspection, and test activities specific to the product and the criteria for product acceptance.						
4.1.1.d	records needed to provide evidence that the realization processes and resulting product meet requirements (see 1.4).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.1.2	The output of this planning shall be in a form suitable for the organization's method of operations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
NOTE 1. A document specifying the processes of the quality management system (including the product realization processes) and the resources to be applied to a specific product, project, or contract, can be referred to as a quality plan.							
NOTE 2. The organization may also apply the requirements given in 4.3 to the development of product realization processes.							
<b>4.2 Customer-related processes</b>							
<b>4.2.1 Determination of requirements related to the product</b>							
4.2.1.a	The organization shall determine requirements specified by the customer, including the requirements for delivery and post-delivery activities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.2.1.b	<b>The organization shall determine</b> requirements not stated by the customer, but necessary for specified or intended use, where known.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.2.1.c	statutory and regulatory requirements related to the product.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
4.2.1.d	any additional requirements determined by the organization.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>4.2.2 Review of Requirements Related to the Product</b>							
4.2.2	The organization shall review the requirements related to the product.						~~
4.2.2.a	<b>This review shall be conducted prior to the organization's commitment to supply the product to the customer (e.g. submission of tenders, acceptance of contracts or orders, acceptance of changes to contracts or orders) and ensure that product requirements are defined.</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.2.2.b	contract or order requirements differing from those previously expressed are resolved.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.2.2.c	the organization has the ability to meet the defined requirements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.2.2	<a href="#">Records</a> of the results of the review and actions arising from the review are maintained (see 1.4).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
4.2.2	Where the customer provides no documented statement of requirements, the customer requirements shall be confirmed by the organization before acceptance.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.2.2	Where product requirements are changed, the organization shall ensure that relevant documents are amended and that relevant personnel are made aware of the changed requirements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
NOTE In some situations, such as internal sales, a formal review is impractical for each order. Instead, the review can cover relevant product information such as categories or advertising material.							
<b>4.2.3 Customer Communication</b>							
4.2.3.a	<b>The organization shall determine and implement effective arrangements for communicating with customers in relation to product information.</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.2.3.b	inquiries, contracts or order handling, including amendments.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.2.3.c	customer feedback, including customer complaints.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>4.3 Design and development</b>							
<b>4.3.1 Design and development planning</b>							
4.3.1	The organization shall plan and control the design and development of product.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
4.3.1.a	<b>During the design and development planning, the organization shall determine the design and development stages.</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.3.1.b	determine the review certification and validation that are appropriate to each design and development stage.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.3.1.c	determine the responsibilities and authorities for design and development.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.3.1	The organization shall manage the interfaces between the different groups involved in design and development to ensure effective communication and clear assignment of responsibility.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.3.1	Planning output shall be updated, as appropriate, as the design and development progresses.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>4.3.2 Design and Development Inputs</b>							
4.3.2	Inputs relating to product requirements shall be determined and <a href="#">records</a> maintained (see 1.4).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
4.3.2.a	<b>These inputs shall include:</b> functional and performance requirements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.3.2.b	applicable statutory and regulatory requirements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.3.2.c	where applicable, information derived from previous similar designs.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.3.2.d	other requirements essential for design and development.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.3.2	These inputs shall be reviewed for adequacy.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.3.2	Requirements shall be complete, unambiguous, and not in conflict with each other.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>4.3.3 Design and Development Outputs</b>							
4.3.3	The outputs of design and development shall be provided in a form that enables verification against the design and development input and shall be approved prior to release.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.3.3.a	<b>Design and development outputs shall:</b> meet input requirements for design development.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.3.3.b	provide appropriate information for purchasing, production, and for service provision.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
4.3.3.c	contain or reference product acceptance criteria.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.3.3.d	specify the characteristics of the product that are essential for its safe and proper use.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>4.3.4 Design and Development Review</b>							
4.3.4.a	At suitable stages, systematic reviews of design and development shall be performed in accordance with planned arrangements (see 4.3.1) to evaluate the ability of the results of design and development to meet requirements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.3.4.b	At suitable stages, systematic reviews of design and development shall be performed in accordance with planned arrangements (see 4.3.1) to identify any problems and propose necessary actions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.3.4	Participants in such reviews shall include representatives of functions concerned with the design and development stage(s) being reviewed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
4.3.4	<a href="#">Records</a> of the results of the reviews and any necessary actions shall be maintained (see 1.4).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>4.3.5 Design and Development Verification</b>							
4.3.5	Verification shall be performed in accordance with planned arrangements (see 4.3.1) to ensure that the design and development outputs have met the design and development input requirements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.3.5	<a href="#">Records</a> of the results of the verification and any necessary actions shall be maintained (see 1.4).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>4.3.6 Design and Development Validation</b>							
4.3.6	Design and development validation shall be performed in accordance with planned arrangements (see 4.3.1) to ensure that the resulting product is capable of meeting the requirements for the specified application or intended use, where known.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.3.6	Wherever practical, validation shall be completed prior to delivery or implementation of the product.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
4.3.6	<a href="#">Records</a> of the results of validation and any necessary actions shall be maintained (see 1.4).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>4.3.7 Control of Design and Development Changes</b>							
4.3.7	Design and development changes shall be identified and <a href="#">records</a> maintained.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.3.7	The changes shall be reviewed, verified, validated, as appropriate, and approved before implementation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.3.7	The review of design and development changes shall include evaluation of the effect of the changes on the constituent parts and product already delivered.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.3.7	<a href="#">Records</a> of the results of the review of changes and any necessary actions shall be maintained see (1.4).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
<b>4.4.1 Purchasing Process</b>							
4.4.1	The organization shall ensure that purchased product conforms to specified purchase requirements. The type and extent of control applied to the supplier and the purchased product shall be dependent on the effect of the purchased product on subsequent product realization or the final product.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.4.1	The organization shall evaluate and select suppliers based on their ability to supply product in accordance with the organization's requirements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.4.1	Criteria for selection, evaluation, and re-evaluation shall be established.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.4.1	<b>Records</b> of the results of evaluations and any necessary actions arising from the evaluation shall be maintained (see 1.4).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
<b>4.4.2 Purchasing Information</b>							
4.4.2.a	<b>Purchasing information shall describe product to be purchased, including, where appropriate, requirements for approval of product, procedures, processes and equipment.</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.4.2.b	qualifications of personnel.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.4.2.c	quality system requirements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.4.2	The organization shall ensure the adequacy of specified purchase requirements prior to their communication to the supplier.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>4.4.3 Verification of Purchased Product</b>							
4.4.3	The organization shall establish and implement the inspection or other activities necessary for ensuring that purchased product meets specified purchase requirements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.4.3	Where the organization or its customer intends to perform verification at the supplier's premises, the organization shall state the intended verification arrangements and method of product release in the purchasing information.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
<b>4.5 Production and Service Provision</b>							
<b>4.5.1 Control of Production and Service Provision</b>							
4.5.1	The organization shall plan and carry out production and service provision under controlled conditions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.5.1.a	<b>Controlled conditions shall include, as applicable,</b> the availability of information that describes the characteristics of the product.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.5.1.b	the availability of work instructions, as necessary.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.5.1.c	the use of suitable equipment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.5.1.d	the availability and use of monitoring and measuring devices.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.5.1.e	implementation of monitoring and measurement.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.5.1.f	the implementation of release, delivery, and post-delivery activities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
<b>4.5.2 Validation of Processes for Production and Service Provision</b>							
4.5.2	The organization shall validate any processes for production and service provision where the resulting output cannot be verified by subsequent monitoring or measurement. This includes any processes where deficiencies become apparent only after the product is in use or the service has been delivered.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.5.2	Validation shall demonstrate the ability of these processes to achieve planned results.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.5.2.a	<b>The organization shall establish arrangements for these processes including, as applicable,</b> defined criteria for review and approval of the processes.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.5.2.b	approval of equipment and qualification of personnel.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.5.2.c	, use of specific methods and procedures.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.5.2.d	requirements for <a href="#">records</a> (see 1.4).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.5.2.e	revalidation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
<b>4.5.3 Identification and Tracking</b>							
4.5.3	Where appropriate, the organization shall identify the product by suitable means throughout the product realization.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.5.3	The organization shall identify the product status with respect to monitoring and measurement requirements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.5.3	Where tracking is a requirement, the organization shall control and record the unique identification of the product (see 1.4).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
NOTE In some industry sectors, configuration management is a means by which identification and tracking are maintained.							
<b>4.5.4 Customer Property</b>							
4.5.4	The organization shall exercise care with customer property while it is under the organization's control or being used by the organization. The organization shall identify, verify, protect, and safeguard customer property provided for use or incorporation into the product.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
4.5.4	If any customer property is lost, damaged, or otherwise found to be unsuitable for use, this shall be reported to the customer and <a href="#">records</a> maintained (see 1.4).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
NOTE Customer property can include intellectual property.							
4.5.5	The organization shall preserve the conformity of product during internal processing and delivery to the intended destination.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.5.5	This preservation shall include identification, handling, packaging, storage, and protection.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.5.5	Preservation shall also apply to the constituent parts of a product.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>4.6 Control of Monitoring and Measuring Devices</b>							
4.6.1	<b>The organization shall</b> determine monitoring and measurement to be undertaken and the monitoring and measuring devices needed to provide evidence of conformity of product to determined requirements (see 4.2.1).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
4.6.2	establish processes to ensure that monitoring and measurement can be carried out and are carried out in a manner that is consistent with the monitoring and measurement requirements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.6.3.a	<b>Where necessary to ensure valid results, measuring equipment shall be</b> calibrated or verified at specified intervals, or prior to use, against measurement standards traceable to international or national measurement standards: Where no such standards exist, the basis used for calibration or verification shall be recorded.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.6.3.b	adjusted or re-adjusted as necessary.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.6.3.c	identified to enable the calibration status to be determined.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.6.3.d	safeguarded from adjustments that would invalidate the measurement results.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.6.3.e	protected from damage and deterioration during handling, maintenance, and storage.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
4.6.4	In addition, the organization shall assess and record the validity of the previous measuring results when the equipment is found not to conform to requirements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.6.4	The organization shall take appropriate action on the equipment and any product affected.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.6.4	<b>Records</b> of the results of calibration and verification shall be maintained (see 1.4).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
4.6.5	When used in the monitoring and measurement of specified requirements, the ability of computer software to satisfy the intended application shall be confirmed. This shall be undertaken prior to initial use and reconfirmed as necessary.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
Element 5: Measurement, Analysis and Improvement							
<b>5.1 General</b>							
5.1.a	<b>The organization shall plan and implement the monitoring, measurement, analysis, and improvement processes needed to demonstrate conformity of product.</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
5.1.b	ensure conformity of the quality process system.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
5.1.c	continually improve the effectiveness of the quality management system.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
5.1	This shall include determination of applicable methods, including statistical techniques, and the extent of their use.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>5.2.1 Customer Satisfaction</b>							
5.2.1	As one of the measurements of the performance of the quality process system, the organization shall monitor information relating to customer perception as to whether the organization has met customer requirements. The methods for obtaining and using this information shall be determined.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
<b>5.2.2 Internal Audits</b>							
5.2.2.a	<b>The organization shall conduct internal audits at planned intervals to determine whether the quality management system</b> conforms to the planned arrangements (see 4.1), to the general requirements, and to the quality management system requirements established by the organization.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
5.2.2.b	is effectively implemented and maintained.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
5.2.2	An audit program shall be planned, taking into consideration the status and importance of the processes and areas to be audited, as well as the results of previous audits.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
5.2.2	Audit criteria, scope, frequency, and methods shall be defined.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
5.2.2	Selection of auditors and conduct of audits shall ensure objectivity and impartiality of the audit process. Auditors shall not audit their own work.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
5.2.2	The responsibilities and requirements for planning and conducting audits and for reporting results and maintaining <b>records</b> (see 1.4) shall be defined in a <b>documented procedure</b> .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
5.2.2	Management responsible for the area being audited shall ensure that actions are taken without undue delay to eliminate detected nonconformities and their causes.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
5.2.2	Follow up activities shall include the verification of the actions taken and the reporting of verification results (see 5.5.2).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>5.2.3 Monitoring and Measurement of Processes</b>							
5.2.3	The organization shall apply suitable methods for monitoring and, where applicable, measurement of quality process system processes.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
5.2.3	These methods shall demonstrate the ability of the processes to achieve planned results.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
5.2.3	When planned results are not achieved, correction and corrective action shall be taken, as appropriate, to ensure conformity of the product.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>5.2.4 Monitoring and Measurement of Product</b>							
5.2.4	The organization shall monitor and measure the characteristics of the product to verify that product requirements have been met. This shall be carried out at appropriate stages of the product realization process in accordance with the planned arrangements (see 4.1).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
5.2.4	Evidence of conformity with the acceptance criteria shall be maintained. <a href="#">Records</a> shall indicate the person(s) authorizing release of product (see 1.4).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
5.2.4	Product release and service delivery shall not proceed until the planned arrangements (see 4.1) have been satisfactorily completed, unless otherwise approved by a relevant authority and, where applicable, by the customer.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
<b>5.3 Control of Nonconforming Product</b>							
5.3.1	The organization shall ensure that product that does not conform to product requirements is identified and controlled to prevent its unintended use or delivery. The controls and related responsibilities and authorities for dealing with nonconforming product shall be defined in a <b>documented procedure.</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
5.3.2	The organization shall deal with nonconforming product by one or more of the following ways:  a) By taking action to eliminate the detected nonconformity;  b) by authorizing its use, release or acceptance under concession by a relevant authority and, where applicable, by the customer;  c) by taking action to preclude its original intended use or application.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
5.3.3	<a href="#">Records</a> of the nature of nonconformities and any subsequent actions taken, including concessions obtained, shall be maintained (see 1.4).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
5.3.4	When nonconforming product is corrected, it shall be subject to re-verification to demonstrate conformity to the requirements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
5.3.5	When nonconforming product is detected after delivery or use has started, the organization shall take action appropriate to the effects, or potential effects, of the nonconformity.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>5.4 Analysis of Data</b>							
5.4	The organization shall determine, collect, and analyze appropriate data to demonstrate the suitability and effectiveness of the quality process system and to evaluate where continual improvement of the effectiveness of the quality management system can be made. This shall include data generated as a result of monitoring and measurement and from other relevant sources.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
5.4.a	<b>The analysis of data shall provide information relating to customer satisfaction (see 5.2.1).</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
5.4.b	conformity to product requirements (see 4.2.1).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
5.4.c	characteristics and trends of processes and products including opportunities for preventive action.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
5.4.d	The analysis of data shall provide information relating to suppliers.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>5.5 Improvement</b>							
<b>5.5.1 Continual Improvement</b>							
5.5.1	The organization shall continually improve the effectiveness of the quality management system through the use of the quality policy, quality objectives, audit results, analysis of data, corrective and preventive actions, and management review.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>5.5.2 Corrective Action</b>							
5.5.2	The organization shall take action to eliminate the cause of nonconformities in order to prevent reoccurrence. Corrective actions shall be appropriate to the nonconformities encountered.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
5.5.2.a	<b>A documented procedure shall be established to define requirements for reviewing nonconformities (including customer complaints).</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
5.5.2.b	determining the causes of nonconformities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
5.5.2.c	evaluating the need for action to ensure that nonconformities do not recur.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
5.5.2.d	determining and implementing action needed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
5.5.2.e	<b>A documented procedure shall be established to define requirements for records</b> of the results of actions taken (see 1.4).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
5.5.2.f	<b>(documented procedure)</b> reviewing corrective action taken.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>5.5.3 Preventive Action</b>							
5.5.3	The organization shall determine action to eliminate causes of potential nonconformities in order to prevent their occurrence. Preventive actions shall be appropriate to the effects of the potential problems.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
5.5.3.a	A <b>documented procedure</b> shall be established to define requirements for determining potential nonconformities and their causes.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
5.5.3.b	(documented procedure) evaluating the need for action to prevent occurrence of nonconformities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
5.5.3.c	determining and implementing action needed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
5.5.3.d	records of results of action taken (see 1.4).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
5.5.3.e	reviewing preventive action taken.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
Element 6: Verification Points and Control of Promotional Materials							
6.1 Verification Points							
6.1.1	Verification points must be stated in the quality manual and be part of the overall quality system.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
6.1.2	Verifications points must: a) add value to the product or service:  b) be substantive, verifiable, and repeatable; and  c) be within the scope of the PVP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
6.1.3	Verification points must not be requirements of regulations, the PVP requirements or a standard under which organizations in the same industry generally operate.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
<b>6.2 Control of Promotional Material</b>							
6.2.1	Use of verification points, the term “USDA Process Verified”, or the Process Verified shield in promotional or advertising materials is voluntary.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
6.2.2	A <b>documented procedure</b> for the use of promotional materials must be established to:  a) Identify a person or persons with responsibility for the review, distribution and control of promotional materials;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
6.2.2	b) Ensure that the specified process verification points are accurately represented in the materials.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~
6.2.2	c) Ensure that the USDA Process Verified shield and the term “USDA Process Verified” are placed on product labels,	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
	<p>promotional material, or advertising in a manner directly associated with a clear description of the specified process verification points. Association can be by:</p> <p>i) proximity, or</p> <p>ii) an asterisk printed near the shield or term referring the reader to information about the verification points.</p>						
6.2.2	<p>d) Control promotional material by:</p> <p>i) Ensuring that promotional materials are supplied to and used only by approved entities;</p> <p>ii) Providing for a system of surveillance to prevent unauthorized use of process verification points, the term “USDA Process Verified” or the USDA Process Verified shield; and</p> <p>iii) Using verification points, the term “USDA Process Verified” or the Process Verified shield only when approved by</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		~~



United States	Grain Inspection	Stop 3630 – Room 2409	DIAB Form 002
Department of	Packers and Stockyards	1400 Independence Ave., SW	July 11, 2005
Agriculture	Administration	Washington, DC 20250-3630	Version 4

Section	Requirement	Identified Assigned	Responsibility Assigned	Implemented Maintained	Effective	Notes	Min. Maj. CIP
	the appropriate USDA Agency.						

### Audit Summary

### Report of Closing Meeting

	<b>Positives of Program:</b>	(list positive activities, behaviors, performance)					
	<b>Process Verified Points:</b>	(list Verification Points)					
	<b>Findings:</b>	(list the number of Major NCs, Minor NC, and CIPs)					
<b># Major Non-conformance</b>							
		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Maj
		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Maj
<b># Minor Non-conformances</b>							
		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Min
		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Min
		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Min
<b># Continuous Improvement Points</b>							
		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		CIP
		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		CIP
		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		CIP
		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		CIP
		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		CIP
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

**CONCLUSION:** Based on the audit findings the audit team finds that the program (meets or does not fully meet) the requirements of the GIPSA Process Verified Program.

designates this audit report and all associated documents as proprietary information.

Signature

Date